Exxon Valdez Oil Spill Trustee Council

Procedures for the Preparation and Distribution of Reports

Adopted: _____, 2013 ***Draft August 29, 2013***

Table of Contents

I. INTRODUCTION 1

A. Additional Guidelines 1

B. Project Numbers 1

1. Final Report Number 1
2. Projects Funded from FY 2010 to Present 1
3. Trustee Council-Funded Programs 1
4. Amendments 1
5. Examples 1
6. Previous Numbering Conventions 2

II. FINAL REPORTS 2

A. Preparation of Final Reports 2

1. Content Format 2
2. Technical Format 6
3. Use of Manuscripts for Final Report Writing 8
4. Due Date 10

B. Review Process: Final Reports 10

1. Submission of Draft Final Reports for Peer Review 10
2. Draft Final Report Peer Review 11
3. Revision of Final Report and Re-Submission for Approval 11
4. Final Report Review of Format 12

C. Printing and Distribution Process 12

1. Reproduction and Number of Copies 12
2. Binding 12
3. Distribution of Final Reports 12

III. ANNUAL PROJECT REPORTS AND ANNUAL AND MID-YEAR PROGRAM STATUS SUMMARIES 13

A. Projects not in a Trustee Council-Funded Program: Annual Project Report Requirement 13
1. Annual Project Report 13
2. Multi-Year Projects 13
3. Due Date 13
B. Trustee Council-Funded Programs: Annual Project Reports and Annual and Mid-Year Program Status Summaries Requirements 13
1. Annual Project Reports 13
2. Multi-Year Projects 13
3. Program Team Lead Submission 13
4. Due Date 14
C. Content of Annual Project Reports and Annual and Mid-Year Program Status Summaries 14
1. Annual Project Reports 14
2. Annual Program Status Summary 16
3. Mid-Year Program Status Summary 16
D. Submission and Review Process: Annual Project Reports and Annual and Mid-Year Program Status Summaries 17
1. Submission for Review of Annual Project Reports and Annual and Mid-Year Program Status Summaries 17
2. Review Process for Annual Project Reports and Annual and Mid-Year Program Status Summaries 17
E. Distribution of Annual Project Reports and Annual and Mid-Year Program Status Summaries 17
IV. QUARTERLY REPORTS 18
A. Projects not in Trustee Council-Funded Programs 18
B. Quarterly Project Status Reports 18
ATTACHMENT A *How to Find EVOSTC Reports* 19
ATTACHMENT B *EVOSTC Final Report Example* 21
ATTACHMENT C *EVOSTC Annual Project Report Form* 26
ATTACHMENT D *EVOSTC Annual Program Status Summary Form* 28
ATTACHMENT E *EVOSTC Mid-Year Program Status Summary Form* 30

Exxon Valdez Oil Spill Trustee Council
Procedures for the Preparation and Distribution of Reports

I. INTRODUCTION

These *Procedures for the Preparation and Distribution of Reports* provide instructions regarding the preparation, peer review, printing and distribution of reports for projects funded by the *Exxon Valdez* Oil Spill Trustee Council.

A. Additional Guidelines

These *Procedures for the Preparation and Distribution of Reports* update and supersede earlier versions of this document and should be read together with the report writing guidelines published by the *Journal of Wildlife Management:*

> Block, W.M., F.R. Thompson, D. Hanseder, A. Cox, and A. Knipps. 2011. Journal of Wildlife Management Guidelines. http://joomla.wildlife.org/documents/JWMguidelines2011.pdf

To the extent that there are any inconsistencies between these *Procedures for the Preparation and Distribution of Reports* and the guidance provided by Block, et al. (2011), the instructions provided in these *Procedures* shall be followed.

B. Project Numbers

For purposes of identification each project is assigned a unique number.

1. **Final Report Number –** The project number that appears on the final report will be the number of the final year of funding.
2. **Projects Funded from FY 2010 to Present –** These projects have eight-digit project numbers:
   - **a)** the first two digits designate the current funding year,
   - **b)** the second two digits represent the year the initial funding was authorized by the Trustee Council, and
   - **c)** the last four digits are the unique project identifier.
3. **Trustee Council-Funded Programs –** Programs are given an eight-digit number that follows the same numbering scheme as described above. Each project within a program receives the program's eight-digit number with the addition of a letter designation beginning at "A".
4. **Amendments –** Projects that submit amendments receive a designation of "Am" followed by the date of the amendment.
5. **Examples –**
   - **a) Projects –**

10071234 indicates the project received funding in 2010.

10071234 indicates the project was initially funded by the Council in 2007.

10071234 can be cross-referenced with projects from other funding years such as 071234, 081234, etc.

10071234-Am12.12.10 indicates an amendment to project 10071234, adoption date December 12, 2010.

b) Programs –

12120114 indicates the Long-Term Monitoring Program.

12120114-A indicates a project within the Long-Term Monitoring Program.

12120114-A-Am12.12.12 indicates an amendment adoption date December 12, 2012 to a project within the Long-Term Monitoring Program.

6. Previous Numbering Conventions – Over time the Trustee Council's project numbering system has evolved to meet the changing needs of the Restoration Program. For information on previous project numbering conventions, see Attachment A, *How to Find EVOSTC Reports*.

II. FINAL REPORTS

A. Preparation of Final Reports

1. Content Format – Authors shall follow the format set out below to prepare final reports. Reports shall meet normal scientific standards of completeness and detail that permit an independent scientific reader to evaluate the reliability and validity of the methods, data and analyses.

a) Report Cover – The report shall have a front and back cover of quality cover stock. To ensure consistent appearance, the preferred color is goldenrod, but yellow is acceptable. An example of a final report cover is provided. *See*, Attachment B. A final report cover shall:

(1) identify the report, using the appropriate series title, for example:

(a) *Exxon Valdez* Oil Spill Restoration Project Final Report,

(b) *Exxon Valdez* Long-Term Monitoring Program ("GulfWatch Alaska"),

(c) *Exxon Valdez* Long-Term Herring Research and Monitoring Program,

(d) *Exxon Valdez* Oil Spill State/Federal Natural Resource Damage Assessment Final Report, (Funding for these projects has been completed.),

(e) *Exxon Valdez* Oil Spill Gulf Ecosystem Monitoring and Research Project Final Report, (Funding for these projects has been completed.) or

(f) other series that may be designated by the Trustee Council.

(2) provide report title;

(3) include the project identification number;

(4) identify the author(s) with appropriate affiliation(s);

(5) include the date (month and year) of publication; and

(6) include the following non-discrimination statement toward the bottom of the page on the inside front cover:

"The *Exxon Valdez* Oil Spill Trustee Council administers all programs and activities free from discrimination based on race, color, national origin, age, sex, religion, marital status, pregnancy, parenthood, or disability. The Council administers all programs and activities in compliance with Title VI of the Civil Rights Act of 1964, Section 504 of the Rehabilitation Act of 1973, Title II of the Americans with Disabilities Act of 1990, the Age Discrimination Act of 1975, and Title IX of the Education Amendments of 1972. If you believe you have been discriminated against in any program, activity, or facility, or if you desire further information, please write to: EVOS Trustee Council, 4210 University Drive, Anchorage, Alaska 99508-4626, or dfg.evos.restoration@alaska.gov; or O.E.O. U.S. Department of the Interior, Washington D.C. 20240."

b) **Title Page –** The Title Page of the report shall immediately follow the report cover page on white bond paper and be identical in content and format to the front of the report cover page. *See*, Attachment B.

c) **Study History, Abstract, Key Words, Project Data and Citation –** Following the Title Page, the report shall include, on

not more than two pages: a study history; an abstract; key words; summary of data gathered during the project; and a recommended citation for the final report. *See*, Attachment B.

(1) *Study History* – A brief study history shall include reference to any prior project numbers; changes in the title of the project or report over time; annual project reports or other reports which contributed to the final report; and citation of publications that have preceded publication of the final reports. If the final report includes information regarding related projects or synthesis, the study history should reference this information.

(2) *Abstract* – An abstract, with a maximum length of 200 works, shall enable readers to quickly identify the basic content of the report, determine its relevance to their interests and thus decide whether to read the document in its entirety. If the final consists of several chapters or manuscripts, the abstract shall summarize the entire reports. *See*, Use of Manuscripts for Final Report Writing, II (A) (3). Do not use abbreviations or acronyms in the abstract. This abstract is submitted by the Alaska Resources Library and Information Services (ARLIS) to the National Technical Information Service.

(3) *Key Words* – A short list of key words (up to 12 in alphabetical order) shall be provided. Include words from the title and others that identify:

(a) common and scientific names of principal organisms, if any;

(b) geographic area or region;

(c) phenomena and entities studied (e.g., behavior, reproduction);

(d) methods (only if the report describes a new or improved method); and

(e) other words not covered above but useful for indexing.

(4) *Project Data* – A summary of the data collected during the project shall be provided in order to preserve the opportunity for other researchers and the public to access this data in the future. The summary shall:

(a) describe the data;

(b) indicate the format of the available data collections;

(c) identify the archive in which the data have been stored or the custodian of the data (including contact name, organization, address, phone/fax, e-mail, and web address where data may be acquired); and

(d) indicate any access limitations placed on the data. Limiting access requires written pre-approval by the Trustee Council Office.

(5) *Citation* – A recommended citation for the final report shall be provided. *See*, Attachment A for the correct citation format.

d) **Table of Contents**, including Lists of Tables, Figures and Appendices.

e) **Executive Summary** – The executive summary shall:

(1) consolidate principal points of the report in one place and provide enough detail for the reader to understand the significance of the report without having to read it in full;

(2) be written to that it can be understood independently of the report (i.e., it must not refer to figures, tables or references contained elsewhere and all acronyms, uncommon symbols, and abbreviations must be spelled out;

(3) not exceed four singled-spaced pages;

(4) concisely state the objectives, methods, results and conclusions of the report and reference any related projects or synthesis; and

(5) be organized in the same manner as the report it summarizes.

f) **Introduction** – The introduction shall reference any related projects or synthesis, where appropriate, and:

(1) clearly present the nature and scope of the problem investigated, including the general area in which field activities were conducted; and

(2) review pertinent literature, state the methods(s) of investigation and briefly state principal results.

g) Objectives – The statement of objectives shall be the same as the objectives identified in the approved proposal. If the objectives have changed, describe what has changed and why.

h) Methods – The discussion of methods shall include a clear description of the study area. To the extent the methodology differs from that described in the proposal, explain the reason for the deviation.

i) Results – The presentation of results shall provide an objective and clear presentation of the data collected.

j) Discussion – The discussion section shall:

(1) interpret the study results and explore the meaning and significance of the findings, including alternative interpretations of the results;

(2) discuss whether the study hypotheses are upheld or disproven;

(3) note where there are unanswered questions; and

(4) where appropriate, cite relevant findings from other *Exxon Valdez* oil spill restoration studies, including published literature.

k) Conclusions – This shall be a brief, clear statement of the conclusions that are apparent from the discussion. Major unanswered questions shall be identified.

l) Acknowledgments

m) Literature Cited

n) Other References – If there is a need to list references other than the literature cited (e.g., personal communications), these references shall be identified in this section.

2. Technical Format – The following guidelines shall help provide consistent formatting:

a) Word Processing Conventions

(1) *Standard Settings*

Line
Line spacing: single

Hyphenation: off (i.e., do not hyphenate at right margin)

Justification: left (i.e., do not right-justify margins)

Margins: 1 inch at top, bottom
1 inch at left, right

Tabs: every 0.5 inch

Widow Protection: yes

Page
Page numbers:

Position: bottom center

No numbers: cover, OEO/ADA page (inside of front cover), title page

Roman numerals: lower case (i, ii, iii, iv, v, vi, etc.); front matter, includes Study History, Table of Contents, List of Tables, List of Figures, and List of Appendices.

Arabic numbers: (1, 2, 3, etc.); narrative, beginning with the Executive Summary.

Header: none

Font
Times: 12 point
Note: If Times is not available, some other serif font shall be used (e.g., Palatino, Bookman or New Century Schoolbook).

(2) *Literature Citations –* In the Literature Cited section, start each citation with a hanging indent as shown below:

Byrd, G.V., D. Gibson, and D.L. Johnson. 1974. The birds of Adak Island, Alaska. Condor 76:288-300.

b) Other Conventions

(1) *Italics –* Use italics, rather than underlining, for Latin names and for *Exxon Valdez*.

(2) *Paper –* Use good quality white paper 8.5 x 11" (215 x 280mm) or metric size A4.

(3) *Terms for oil spill –* When referring to the oil spill that occurred because the *Exxon Valdez* ran aground, use *Exxon Valdez* oil spill. After the first mention of the *Exxon Valdez* oil spill, refer to it simply as the spill.

(4) *Acronyns –* Clearly define any acronyms. Avoid the use of acronyms completely in the Abstract and Executive Summary.

(5) *Terms –* Use the terms "damages" and "injury" as defined by CERCLA regulations (*See*, 43 CFR 11.14):

(a) *"Damages"* means the amount of money sought by the natural resource trustee as compensation for injury, destruction or loss of natural resources.

(b) *"Injury"* means a measurable adverse change, either long or short-term, in the chemical or physical quality or the viability of a natural resource resulting either directly or indirectly from exposure to a discharge of oil. Injury encompasses the phrases "destruction" and "loss".

(c) *"Destruction"* means the total and irreversible loss of a natural resource.

(d) *"Loss"* means a measurable adverse reduction of a chemical or physical quality or viability of a natural resource.

3. Use of Manuscripts for Final Report Writing – The Trustee Council encourages principal investigators to publish the results of their work in peer-reviewed journals. With the written approval of the Trustee Council's Science Coordinator, and on a project-by-project basis, manuscripts or journal articles may be used to satisfy project final report writing requirements. When a manuscript is used to fulfill the report requirements, it is strongly preferred that the manuscript be in draft form before it has been submitted to a journal to allow duplication without violation of copyright or publication rights. *See*, Copyright and Publication Rights, II (A) (3) (d).

a) Authority to Use Manuscripts – Principal investigators shall contact the Science Coordinator to request written approval to use a manuscript(s) as the body of a final report.

b) **Objectives –** Because final reports are the primary and permanent record of how Trustee Council funds have been spent and what has been accomplished with those funds, it is necessary that these reports address all of the objectives for which the Trustee Council has provided funds.

(1) If all of the project's objectives are completely described within one or more manuscripts being prepared for publication, a copy of the manuscript(s) may be submitted as the entire body of the report. *See*, Standard Format requirements, II (A) (3) (c).

(2) If a project's objectives are not all described completely within one or more manuscripts, the manuscript(s) may serve as a portion of the report. For example, if only two of five objectives are addressed in a manuscript, the report shall include – in addition to the manuscript – information on the three objectives not covered in the manuscript. The two objectives covered by the manuscript shall be referenced in the report as appropriate (e.g., in the Methods and Results sections) and substantially integrated into the Discussion section, where there shall be an overall discussion of the project. In such cases, the combination of the manuscript and additional report material shall present an organized, integrated and complete account of the project activities and results.

c) **Standard Format –** Every report, regardless of whether it is in the standard format or includes manuscripts, shall adhere to the formatting prescribed for the Report Cover, Title Page, Study History, Abstract, Key Words, Project Data and Citation. *See*, Content Format, II (A) (1).

d) **Copyright and Publication Rights –** When a manuscript is used to fulfill report writing requirements, it must be in a form that can be duplicated freely and posted on the Trustee Council website. This may require obtaining permission from the publisher. When appropriate:

(1) The author shall provide the Trustee Council Office with a copy of the publisher's written permission to duplicate and post the article as part of the report.

(2) The statement "This article is reprinted with permission from the publisher." shall precede the journal article(s) in the report.

e) **Disclaimer Statement –** Investigators seeking to publish the results of Trustee Council-sponsored projects shall include the following statement with all manuscripts:

> "The research described in this paper was supported by the *Exxon Valdez* Oil Spill Trustee Council. However, the findings and conclusions presented by the author(s) are their own and do not necessarily reflect the views or position of the Trustee Council."

f) **Reprints –** Investigators who publish the results of Trustee Council-sponsored projects shall provide the Trustee Council Office (attention: Science Coordinator) three (3) reprints of any published manuscript. The Trustee Council Office shall provide one (1) of the reprints to ARLIS.

4. Due Date

a) **Due Dates –** Unless a different date is specified in the approved proposal or contract, draft final reports shall be submitted for peer review in the year following the fiscal year in which project work was completed:

(1) For an October 1-September 30 fiscal year, the report is due by April 15.

(2) For a February 1-January 31 fiscal year, the report is due by March 1.

b) **Request for Extension –** If the due date cannot be met, the principal investigator shall file an extension request with the Science Coordinator at least 15 days prior to the due date. The request must be in writing and state a reason the report will be late. With approval of the Executive Director, an alternative final report due date may be identified.

Comment [CH1]: EMH: Former Section II (A) (5), Withholding of Funding Pending Deliverables, was redundant with requirement in Financial Procedures and has been removed.

B. Review Process: Final Reports

1. **Submission of Draft Final Reports for Peer Review –** Draft final reports are required to undergo the peer review process outlined below. For projects which are not in a Trustee Council-funded Program, the principal investigator shall submit one (1) electronic copy of the draft final report to the Science Coordinator for peer review. The electronic copy shall be submitted as a word processing document (most recent version of Microsoft Word for Windows) with any figures and tables embedded.

Science Coordinator	phone: (907) 278-8012
EVOS Trustee Council Office	fax: (907) 276-7178

4210 University Dr.
Anchorage, AK 99508-4626
E-mail: dfg.evos.projects@alaska.gov

2. **Draft Final Report Peer Review –** Draft final reports shall be scientifically or technically peer reviewed under the direction of the Science Coordinator or, for Trustee Council-funded Programs, the Team Leads.

   a) **Peer Review –** The Science Coordinator or Team Leads, where applicable, may secure the services of a minimum of two qualified reviewers who will provide comments, identify questions, and suggest revisions as appropriate for the report.

      (1) Reviewers will be selected based upon experience, expertise, availability, and objectivity.

      (2) Reviewers will be screened to avoid conflicts of interest and shall sign a conflict of interest disclosure form before being selected for a peer review.

      (3) Peer reviews will be confidential. Comments may be submitted in writing to the Science Coordinator or Team Leads.

      (4) Peer reviewers will be anonymous to the authors of the report and the general public.

   b) **Peer Review Comments –** The Science Coordinator or Team Leads, where applicable, shall consolidate the peer review comments and provide the consolidated comments and any recommendations in writing to the principal investigator(s); Team Leads will also forward the peer review comments and any recommendations to the Science Coordinator.

3. **Revision of Final Report and Re-Submission for Approval**

   a) **Revision –** Within 30 days of receiving peer review comments, principal investigators will revise their draft final reports to address peer review comments, as appropriate.

   b) **Re-Submission –** After revision, principal investigators will submit one (1) electronic copy of the revised final report to the Science Coordinator for acceptance.

   c) **Approval –** Final reports will not be distributed from the Trustee Council Office until peer review is complete. Once the final report is accepted,

(1) the Science Coordinator shall notify the principal investigator in writing and send a copy of the letter of acceptance to the project manager, ARLIS, and Team Leads, where applicable;

(2) the Science Coordinator will also forward the report to ARLIS for format review.

4. **Final Report Review of Format –** Once the content of the report is accepted by the Science Coordinator, the Science Coordinator shall forward the final report to ARLIS for review of format.

a) **Format Review –** After approving the final report, the Science Coordinator will send an electronic copy of the final report as a Word file to ARLIS (attention: Carrie Holba at reference@arlis.org) for format review.

b) **Revisions –** Within 15 days of receipt of the final report, ARLIS staff shall review it for compliance with the report format standards, remove all references to "draft", and make any revision needed for format compliance.

c) **Approval –** After revising and approval the format, ARLIS staff will e-mail a copy of the report to the principal investigator with written confirmation that the format has been approved and the report is ready to be printed. The principal investigator shall not reproduce the report until format approval is confirmed in writing by ARLIS. ARLIS staff will also e-mail final copies of the report and format approval letter to the Science Coordinator, project manager and Team Leads, where applicable.

C. Printing and Distribution Process

1. **Reproduction and Number of Copies –** Within 60 days of the date of the written confirmation from ARLIS indicating approval of the final report format, the principal investigator shall produce and send to ARLIS six (6) two-sided, bound copies of the report.

2. **Binding –** Copies of final reports shall be bound using Perfect binding. Smaller reports may be bound with black tape or comb binding. Very small reports may be bound with staples in three places along the spine, but only when other binding options are not available. Questions regarding binding shall be directed to ARLIS (attention: Carrie Holba at reference@arlis.org).

3. **Distribution of Final Reports –** ARLIS shall send two bound copies of final reports to the Trustee Council Office for the Science Coordinator and the Trustee Council's Official Record. Final reports, in locked PDF format, shall be posted on the Trustee Council website

at www.evostc.state.ak.us. ARLIS will provide URLs for final reports to the Alaska State Library and National Technical Information Service (NTIS) to fulfill state and federal depository requirements. *See*, Attachment A, *How to Find EVOSTC Reports*.

III. ANNUAL PROJECT REPORTS AND ANNUAL AND MID-YEAR PROGRAM STATUS SUMMARIES

A. Projects not in a Trustee Council-Funded Program: Annual Project Report Requirement

1. **Annual Project Report –** The principal investigator for a project is responsible for the submission to the Trustee Council of an annual project report.

2. **Multi-Year Projects –** An annual project report shall be submitted each year until the project is completed, at which time a final report shall be submitted.

3. **Due Date –** Unless a different date is specified in the approved proposal or contract, annual project reports shall be submitted for each fiscal year for which a project received funding:

   a) for an October 1-September 30 fiscal year, by September 1;

   b) for a February 1-January 31 fiscal year, by March 1.

B. Trustee Council-Funded Programs: Annual Project Reports and Annual and Mid-Year Program Status Summaries Requirements

1. **Annual Project Reports –** The principal investigator for a project within a Trustee Council-funded program is responsible for production of an annual project report for submission to the Trustee Council by the Team Leads, as required in III (B) (3) (b).

2. **Multi-Year Projects –** An annual project report shall be submitted each year until the project is completed, at which time a final report shall be submitted.

3. **Program Team Lead Submission –** Team Leads are responsible for:

   a) collecting, reviewing and collating the annual project reports from the individual projects within the program, including any agency projects;

   b) submission to the Trustee Council of:

      (1) the annual project reports from the individual projects within the program to be submitted with

Comment [CH2]: EMH: This section has been reorganized slightly to clarify requirements. Track changes were accepted for ease of review.

(2) an annual program status summary; and

c) submission of a mid-year program status summary.

4. Due Date – Unless a different due date is specified in the approved proposal or contract,~~For Trustee Council-funded Programs~~ for each fiscal year for which a project within a Trustee Council-funded program received funding:

a) the ~~individual projects'~~ annual project report~~s~~ and annual program status summary are due by March 1; and

b) the mid-year program status summary is due by September 1.

C. Content of Annual Project Reports and Annual and Mid-Year Program Status Summaries

1. Annual Project Reports – Annual project reports shall include the information listed below and be submitted on the appropriate form. *See* Attachments C, D and E.

a) Project Number

b) Project Title – The annual and mid-year program status summaries shall include the program title.

c) Principal Investigator's Name(s) – The annual and mid-year program status summaries shall include the name(s) of the Team Leads submitting the report.

d) Time Period Covered by the Report or Summary –

(1) The annual project reports and annual program status summary will report on the prior fiscal year's work.

(2) The mid-year program status summary will report on the prior six-months' work.

e) Date of Report or Program Status Summary – specify month and year.

f) Project or Program Website – if applicable.

g) Summary of Work Performed – This section shall include a brief summary of work performed during the reporting period, including any results available to date and their relationship to the original project objectives. Any deviation from the original project objectives, procedures or statistical methods, study area, or schedule shall be included. Any known problems or unusual

developments, and any other significant information pertinent to the project, shall also be described.

h) **Summary of Future Work to be Performed –** This brief summary shall describe work to be performed during the upcoming reporting period, if changed from the original proposal. A description of any proposed changes in project objectives, procedures or statistical methods, study area, or schedule shall be included.

i) **Coordination/Collaboration –** This section shall describe efforts undertaken during the reporting period to achieve the coordination and collaboration provisions of the proposal, if applicable.

j) **Community Involvement/TEK and Resource Management Applications –** This section shall describe efforts undertaken during the reporting period to achieve the community involvement/TEK and resource management application provisions of the proposal, if applicable.

k) **Information Transfer –** This section shall list

(1) publications produced during the reporting period;

(2) conference and workshop presentations and attendance during the reporting period; and

(3) data and/or information products developed during the reporting period.

l) **Budget –** This section shall provide:

Comment [CH3]: EMH: This section has been edited alongside a newly revised proposal budget form which provides a designated form for annual reporting.

(1) a detailed accounting of the project spending for the fiscal year, February 1-January 31, or October 1-September 30, as applicable;

(2) using the Reporting Summary Form, which is included in the Detailed Budget Form submitted with the original proposal and available on the EVOSTC website at http://www.evostc.state.ak.us/Publications/Invitations.cfm, please provide:

(a) a comparison of the actual funds spent versus those originally requested and approved by the Council; and

(b) in the Comments box,

(i) clearly note discrepancies and a brief reason provided for any changes; and

(ii) identify non-EVOSTC or in-kind contributions used as cost-share for project work, matching funds or other funds from non-Trustee Council sources. Please also note the purpose for which the funds will be used. Do not include funds that are not directly and specifically related to project work.

2. **Annual Program Status Summary –** The annual program status summary shall include the information required in III (C) (1). The requirements in III (C) (1) refer to "projects". However, the Team Leads should address the requirements in III (C) (1) as applicable to the program where appropriate, and also include the following:

   a) summarize the status and development of the program;

   b) progress towards milestones;

   c) detail or highlight any noteworthy issues or findings relating to the program and projects within the program; and

   d) include an overview of work performed during the prior year, including any results available to date, as well as discussion of how future work is anticipated to contribute to this overview of work. The overview of work should clearly demonstrate how the individual projects inform the overall program goals and may include

      (1) collaborations, both practical and scientific;

      (2) scientific synthesis;

      (3) program milestones reached;

      (4) emerging/developing hypotheses;

      (5) public and management agency use of program or project products or data;

      (6) any known problems or unusual developments; and

      (7) any other significant information pertinent to the program.

3. **Mid-Year Program Status Summary –** The mid-year program status summary shall be a brief document ~~(4-5 pages)~~ that includes items listed in III (C) (1) (a~~b~~-h).

~~**4. Timely Submission –** The information in the annual report and annual and mid-year program status summaries shall be a key component in the Trustee Council's annual decision to continue funding a project. Failure to submit an annual report or summery by the applicable due date, or unsatisfactory review of an annual report or summary, may result in withholding of additional project funds, and may result in cancellation of the project or denial of funding for future projects.~~

Comment [CH4]: EMH: This language was consolidated with an existing requirement in the Financial Procedures.

D. Submission and Review Process: Annual Project Reports and Annual and Mid-Year Program Status Summaries

1. Submission for Review of Annual Project Reports and Annual and Mid-Year Program Status Summaries – The principal investigator, or Team Lead, as applicable, shall electronically submit the report to the Science Coordinator, care of dfg.evos.projects@alaska.gov.

a) Subject Line – The subject line of the e-mail transmitting the annual project report or summary must include the project number and the words "annual project report" (e.g., "035620 Annual Project Report), "annual program status summary" (e.g., "035620 Annual Program Status Summary"), or "mid-year program status summary" (e.g., "035620 Mid-Year Program Status Summary").

b) Electronic Format – An electronic report or summary shall be submitted either as an Acrobat Portable Document Format (PDF) file or word processing document (using the most recent versions of Acrobat, Microsoft Word for Windows) with all figures and tables embedded. The preferred Acrobat file format is "formatted text with graphics" format. Minimally, "PDF searchable image" format may be used if pre-approved by the Trustee Council Office. In either case, the PDF file shall not be secured or locked from future editing, or contain a digital signature from the principal investigator.

2. Review Process for Annual Project Reports and Annual and Mid-Year Program Status Summaries – Annual project reports and annual and mid-year program status summaries shall be reviewed by the Science Coordinator. ~~Under the guidance of the Science Coordinator, t~~These reports and summaries may also be reviewed by qualified outside peer reviewers and the Trustee Council's Science Panel. The review process may~~shall~~ be used to determine whether continued funding of the project is warranted and to guide further work on the project. Any written comments on a report or summary shall be provided to the principal investigator or Team Leads, as applicable, and kept on file at the Trustee Council Office, available upon request.

E. Distribution of Annual Project Reports and Annual and Mid-Year Program Status Summaries – Annual project reports and annual and mid-year

program status summaries shall be kept on file as public documents at the Trustee Council Office, available upon request. These reports and summaries shall also be posted on the Trustee Council's website at www.evostc.state.ak.us.

IV. QUARTERLY REPORTS

A. Projects not in Trustee Council-Funded Programs

Projects not in a Trustee Council-funded Program shall~~must~~ submit a quarterly report.

B. Quarterly Project Status Reports

1. Within 30 days following the end of each quarter, the principal investigator for each Trustee Council-funded project shall submit a status report to the Executive Director.

2. Principal investigators shall work with their agency project managers to address measurable project tasks in their quarterly reporting obligations.

Comment [CH5]: EMH: Withholding of Funding Pending Deliverables language that followed this section was removed, as it was consolidated with an existing requirement in the Financial Procedures.

ATTACHMENT A *How to Find EVOSTC Project Reports*

A list of EVOS Trustee Council (EVOSTC) final reports and annual (prior to 2002) reports is maintained at the EVOSTC website at www.evostc.state.ak.us/Publications/bibliographies.cfm. EVOSTC reports are available as listed below. Reports are also submitted to the Alaska State Library and the National Technical Information Service in fulfillment of state and federal depository requirements.

Final project reports are available full-text at:

- EVOSTC website. The Trustee Council's database of restoration projects is searchable via Project Search by project number, researcher, or project title.
- ARLIS catalog. The catalog is searchable by title, project number, principal investigator, additional authors, series title, subject heading, and key words. A searchable notes field in the catalog record describes the report and provides additional access points. From the catalog record, a link takes the researcher to the full-text report. Paper copies of reports are available for check out at ARLIS and are loaned worldwide through interlibrary loan.
- National Technical Information Service (NTIS). Copies of most final reports can be purchased in electronic, paper or microfiche formats through NTIS at (703) 487-4650 or www.ntis.gov.

Annual project reports are available full-text at:

- EVOSTC website. The Trustee Council's database of restoration projects is searchable via Project Search by project number, researcher, or project title.
- ARLIS catalog. Annual reports for projects funded prior to 2002 are available full-text through the ARLIS catalog. Paper copies are available for check out and are loaned worldwide through interlibrary loan.

Program Status Summaries are available full-text at the EVOSTC website. The Trustee Council's database of restoration projects is searchable via Project Search by project number, researcher, or project title.

Report Numbers: When locating a report, it may be helpful to understand how the reports are numbered. For purposes of identification each project is assigned a unique number. The project number that appears on the final report is the number of the final year of funding. Over time the Trustee Council's project numbering system has evolved to meet the changing needs of the Restoration Program.

- Natural Resource Damage Assessment (NRDA) Studies: Funded in 1989 to 1992, these studies were designated by alpha-numeric study numbers (e.g., MM6 for "Marine Mammal Study 6" or FS2 for "Fish/Shellfish Study 2"). These reports were published in the series, *Exxon Valdez* Oil Spill State/Federal Natural Resource Damage Assessment Annual Report, or *Exxon Valdez* Oil Spill State/Federal Natural Resource Damage Assessment Final Report.

- Restoration Projects: In 1993 the Trustee Council shifted the program emphasis from damage assessment to restoration, and projects were given five-digit numbers. The first two digits indicate the funding year and the last three digits identify the individual project. Initially, continuing projects received a new project number each year, but in 1995 the Trustee Council began using the unique project identifier, and the same last three digits were used to identify an individual project each year it was funded. Large projects were divided into several smaller subprojects, and numbers and/or letters were added to the project number to identify these subprojects (e.g., 95320S or 95139C1). Some NRDA studies focused on restoration activities were continued as restoration projects in 1993. From 1993 to 2001 restoration project annual reports were published in the series, *Exxon Valdez* Oil Spill Restoration Project Annual Report. Beginning in 2002, annual reports were no longer published, but are available in electronic format at the EVOSTC website. Restoration project final reports are published in the series, *Exxon Valdez* Oil Spill Restoration Project Final Report.
- *Exxon Valdez* Oil Spill Gulf Ecosystem Monitoring and Research Program (GEM): These projects were funded between FY 2002 and FY 2006. GEM projects funded in 2002 have five-digit numbers as described above. GEM projects funded after FY 2002 have six-digit project numbers (e.g., 030647). The first two digits identify the fiscal year in which the project was funded, and the last four digits are the unique project identifier. Some early GEM report numbers are preceded by a "G", but this practice was discontinued. These final reports were published in the series, *Exxon Valdez* Oil Spill Gulf Ecosystem Monitoring and Research Project Final Report.
- Restoration Projects funded in 2003 to 2009: These projects have six-digit project numbers. The first two digits represent the fiscal year of funding and the last four digits are the unique project identifier. These final reports were published in the series, *Exxon Valdez* Oil Spill Restoration Project Final Report.
- Projects funded from FY 2010 to present: The projects have eight-digit project numbers: the first two digits designate the current funding year, the second two digits represent the year the initial funding was authorized by the Trustee Council, and the last four digits are the unique project identifier. Trustee Council-funded programs are given an eight-digit number that follows the same numbering scheme. Each project within a program receives the program's eight-digit number with the addition of a letter designation beginning at "A". Projects that submit amendments receive a designation of "Am" followed by the date of the amendment. These project final reports are published in the series, *Exxon Valdez* Oil Spill Restoration Project Final Report. Reports from projects within a program are published in the series, *Exxon Valdez* Long-Term Monitoring Program ("GulfWatch Alaska") or *Exxon Valdez* Long-Term Herring Research and Monitoring Program.

For assistance in locating EVOSTC final and annual reports, contact ARLIS at:

Alaska Resources Library and Information Services (ARLIS)
Suite 111 Library Building
3211 Providence Drive
Anchorage, AK 99508
(907) 27-ARLIS (272-7547)
reference@arlis.org www.arlis.org

ATTACHMENT B ***EVOSTC Final Report Example***

Exxon Valdez Oil Spill
Restoration Project Final Report

Responses of River Otters to Oil Contamination:
A Controlled Study of Biological Markers

Restoration Project 99348
Final Report

NOTE: The Report Cover must be quality cover stock, goldenrod in color.

*****This example cover page also shows how to indicate the authors' (Ben-David, Bowyer, Duffy) affiliation when the report was done at the direction of an agency (ADF&G) and the agency wants to be acknowledged.

Merav Ben-David
R. Terry Bowyer
Lawrence K. Duffy

Institute of Arctic Biology
311 Irving Building
University of Alaska Fairbanks
Fairbanks, Alaska 99775

for:

Alaska Department of Fish and Game
Habitat and Restoration Division
333 Raspberry Road
Anchorage, Alaska 99518

September 1999

NOTE: The statement below must be printed on the back of the goldenrod Report Cover.

The *Exxon Valdez* Oil Spill Trustee Council administers all programs and activities free from discrimination based on race, color, national origin, age, sex, religion, marital status, pregnancy, parenthood, or disability. The Council administers all programs and activities in compliance with Title VI of the Civil Rights Act of 1964, Section 504 of the Rehabilitation Act of 1973, Title II of the Americans with Disabilities Action of 1990, the Age Discrimination Act of 1975, and Title IX of the Education Amendments of 1972. If you believe you have been discriminated against in any program, activity, or facility, or if you desire further information, please write to: EVOS Trustee Council, 4210 University Dr., Anchorage, Alaska 99508-4626; or O.E.O. U.S. Department of the Interior, Washington, D.C. 20240.

Exxon Valdez Oil Spill
Restoration Project Final Report

Responses of River Otters to Oil Contamination: A Controlled Study of Biological Markers

Restoration Project 99348
Final Report

NOTE: The Title Page must be on white bond paper.

Merav Ben-David
R. Terry Bowyer
Lawrence K. Duffy

Institute of Arctic Biology
311 Irving Building
University of Alaska Fairbanks
Fairbanks, Alaska 99775

for:

Alaska Department of Fish and Game
Habitat and Restoration Division
333 Raspberry Road
Anchorage, Alaska 99518

September 1999

Responses of River Otters to Oil Contamination:
A Controlled Study of Biological Stress Markers

Restoration Project 99348
Final Report

Study History: Project 99348 originated from the need to better understand the effects of contamination by crude oil on biomarkers in river otters (*Lontra canadensis*). Previous studies demonstrated elevated levels of biomarkers in river otters from oiled areas compared with those from non-oiled areas throughout Prince William Sound, Alaska, shortly following the *Exxon Valdez* oil spill (EVOS). Although the data collected to date strongly indicated a correlation between oil contamination and physiological stress in river otters, this evidence required verification through controlled experiments as identified by the EVOS Trustee Council review process (1997). This 2-year project was conducted at the Alaska SeaLife Center in Seward, Alaska, USA, between April 1998 and March 1999. Additional funding was provided by the Council for completion of 3 manuscripts in FY 2000 for publication in a peer-reviewed journal.

Abstract: In this study, we experimentally determined the effects of oil contamination on river otters. Fifteen wild-caught male river otters were exposed to 2 levels of weathered crude oil (i.e., control, 5 ppm/day/kg body mass, and 50 ppm/day/kg body mass) under controlled conditions in captivity at the Alaska SeaLife Center in Seward, Alaska. Responses of captive river otters to oil ingestion provided mixed results in relation to biomarkers. Although hemoglobin, white blood cells, alkaline phosphates, and possibly interleukin–6 immunoreactive responded in the expected manner, other parameters did not. Aspartate Aminotransferase Alanine Aminotransferase haptoglobin did not increase in response to oiling or decrease during rehabilitation. In addition, although expression of P450-1A increased in captive river otters during oiling, several inconsistencies in the data complicated data interpretation. Nonetheless, we were able to establish that reduction in hemoglobin led to increase in energetic costs of terrestrial locomotion, decrease in aerobic dive limit, and potential increase in foraging time due to a decrease in total length of submergence during each foraging bout. We offer a theoretical physiological model to describe interactions between the different biomarkers and advocate the exploration and development of other biomarkers that will be independent of the heme cycle.

Key Words: Aerobic dive limit, Alaska, captivity, CYP1A, crude oil, hemoglobin, immuno-histochemistry, liver enzymes, *Lontra canadensis*, lymphocytes, oxygen consumption, quantitative RT-PCR.

Project Data: *Description of data* – data was collected from live animals held in captivity at the Alaska SeaLife Center. Blood and other tissues were sampled and processed in different laboratories. Additional samples are archived at the Institute of Arctic Biology, UAF. *Format* – All data were entered as Excel spreadsheets. *Custodian* – contact Merav Ben-David, Institute of Arctic Biology, 311 Irving Building, University of Alaska Fairbanks, Fairbanks, Alaska 99775.

Citation:

Ben-David, M., R.T. Bowyer, and L.K. Duffy. 1999. Responses of river otters to oil contamination: A controlled study of biological stress markers, *Exxon Valdez* Oil Spill Restoration Project Final Report (Restoration Project 99348), Alaska Department of Fish and Game, Habitat and Restoration Division, Anchorage, Alaska.

ATTACHMENT C ***EVOSTC Annual Project Report Form***

Due Dates for projects not in a Trustee Council-funded program:

As per Reporting Policy III (A)(1)-(3), the principal investigator for a project not in a Trustee Council-funded program is responsible for the submission to the Trustee Council of an annual report. Unless a different date is specified in the approved proposal or contract, annual reports shall be submitted for each fiscal year for which a project received funding:

1) for an October 1-September 30 fiscal year, by September 1;
2) for a February 1-January 31 fiscal year, by March 1.

Due Date for projects within a Trustee Council-funded program:

As per Reporting Policy III(B)(1)-(4), the principal investigator for a project within a Trustee Council-funded program is responsible for the production of an annual report for submission to the Trustee Council by the Team Leads. Unless a different date is specified in the approved proposal or contract, annual reports are due by March 1. *Note*: These due dates are for program submissions to the Trustee Council. PIs should consult with their program Team Leads with regard to any internal program due dates.

*Please refer to the Reporting Policy for all reporting due dates and requirements.

1. Program Title and Number: *See*, Reporting Policy at III (C) (1) (a), (b).

Text

2. PI Submitting the Report: *See*, Reporting Policy at III (C) (1) (c).

Text

3. Time period covered by the Report: *See*, Reporting Policy at III (C) (1) (d).

Text

4. Date of Report: *See*, Reporting Policy at III (C) (1) (e).

Text

5. Project website (if applicable): *See*, Reporting Policy at III (C) (1) (f).

Text

6. Summary of Work Performed: *See*, Reporting Policy at III (C) (1) (g).

Text

7. Summary of Future Work to be Performed: *See*, Reporting Policy at III (C) (1) (h).

Text

8. Coordination/Collaboration: *See*, Reporting Policy at III (C) (1) (i).

Text

9. Community Involvement/TEK and Resource Management Applications: *See*, Reporting Policy at III (C) (1) (j).

Text

10. Information Transfer: *See*, Reporting Policy at III (C) (1) (k).

Text

11. Budget: *See*, Reporting Policy at III (C) (1) (l).

Text

- All citations herein refer to the EVOSTC Procedures for the Preparation and Distribution of Reports ("Reporting Policy.")
- For technical submission format information, please see Reporting Policy at III (D) (1).
- Form rev. 7.2.13

We appreciate your prompt submission and thank you for your participation.

ATTACHMENT D *EVOSTC Annual Program Status Summary Form*

Due Date for Annual Program Status Summary:

As per Reporting Policy III (B) (3)-(4), Team Leads are responsible for submission to the Trustee Council of the annual reports from the individual projects within the program to be submitted with an annual program status summary. Unless a different date is specified in the approved proposal or contract, annual program status summaries are due by March 1.

*Please refer to the Reporting Policy for all reporting due dates and requirements.

1. Program Title and Number: *See*, Reporting Policy at III (C) (1) (a), (b).

Text

2. Team Lead Submitting the Report: *See*, Reporting Policy at III (C) (1) (c).

Text

3. Time period covered by the Report: *See*, Reporting Policy at III (C) (1) (d).

Text

4. Date of Report: *See*, Reporting Policy at III (C) (1) (e).

Text

5. Project website (if applicable): *See*, Reporting Policy at III (C) (1) (f).

Text

6. Summary of Work Performed: *See*, Reporting Policy at III (C) (1) (g).

Text

7. Summary of Future Work to be Performed: *See*, Reporting Policy at III (C) (1) (h).

Text

8. Coordination/Collaboration: *See*, Reporting Policy at III (C) (1) (i).

Text

9. Community Involvement/TEK and Resource Management Applications: *See*, Reporting Policy at III (C) (1) (j).

Text

10. Information Transfer: *See*, Reporting Policy at III (C) (1) (k).

Text

11. Budget: *See*, Reporting Policy at III (C) (1) (l).

Text

12. Summarize the status and development of the programs: *See*, Reporting Policy at III (C) (2) (a).

Text

13. Progress towards milestones: *See*, Reporting Policy at III (C) (2) (b).

Text

14. Detail or highlight any noteworthy issues or findings relating to the program and projects within the program: *See*, Reporting Policy at III (C) (2) (c).

Text

15. Overview of Work: *See*, Reporting Policy at III (C) (2) (d).

Text

- All citations herein refer to the EVOSTC Procedures for the Preparation and Distribution of Reports ("Reporting Policy.")
- For technical submission format information, please see Reporting Policy at III (D) (1).
- Form rev. 7.2.13

We appreciate your prompt submission and thank you for your participation.

ATTACHMENT E *EVOSTC Mid-Year Program Status Summary Form*

Due Date for Mid-Year Program Status Summary:

As per Reporting Policy III (B) (3)-(4), Team Leads are responsible for submission to the Trustee Council of a mid-year program status summary. Unless a different date is specified in the approved proposal or contract, mid-year program status summaries are due by September 1.

*Please refer to the Reporting Policy for all reporting due dates and requirements.

1. Program Title and Number: *See*, Reporting Policy at III (C) (1) (a), (b).

Text

2. Team Lead Submitting the Report: *See*, Reporting Policy at III (C) (1) (c).

Text

3. Time period covered by the Report: *See*, Reporting Policy at III (C) (1) (d).

Text

4. Date of Report: *See*, Reporting Policy at III (C) (1) (e).

Text

5. Project website (if applicable): *See*, Reporting Policy at III (C) (1) (f).

Text

6. Summary of Work Performed –*See*, Reporting Policy at III (C) (1) (g).

Text

7. Summary of Future Work to be Performed –*See*, Reporting Policy at III (C) (1) (h).

Text

- All citations herein refer to the EVOSTC Procedures for the Preparation and Distribution of Reports ("Reporting Policy.")
- For technical submission format information, please see Reporting Policy at III (D) (1).
- Form rev. 7.2.13

We appreciate your prompt submission and thank you for your participation.